



PATENT
Attorney Docket No. P1995A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Baker et al.

Art Unit: 3624

Application No. 10/804,693

Examiner: Unassigned

Filed: March 19, 2004

For: **METHOD FOR MANAGING DATA
REGARDING DERIVATIVES TRANSACTIONS**

RESPONSE TO NOTICE TO FILE MISSING PARTS

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir

Applicants hereby respond to the Notice to File Missing Parts of Application dated June 2, 2004.

The items checked below are appropriate:

1. Status of Applicant

This application is on behalf of ☐ other than a small entity or ☒ a small entity.

2. Documents Submitted Herewith

- a. ☒ Executed Declaration of inventor(s)
- b. ☐ Nucleotide and/or Amino Acid Sequence Submission:
 - i. ☐ Computer Readable Form (CRF)
 - ii. Specification Sequence Listing on:
 - (1) ☐ CD-ROM or CD-R (2 copies); or
 - (2) ☐ Paper Copy
 - iii. ☐ Statement verifying identity of above copies
- c. ☐ Verified English translation of application
- d. ☒ Copy of the Notice to File Missing Parts of Application.
- e. ☐ Substitute Drawings
- f. ☐ Other:

3. Fees

Application Filing Fee

APPLICATION FEES				
BASIC FEE				\$300.00
SEARCH FEE				\$500.00
EXAMINATION FEE				\$200.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	-20=		x \$50.00	\$0.00
Independent Claims	- 3=		x \$200.00	\$0.00
<input type="checkbox"/> Multiple Dependent Claims(s) if applicable			+\$360.00	\$
Total of above calculations =				\$0.00
Reduction by 50% for filing by small entity =				\$()
Fee Due =				\$0.00

Late Filing of Oath or Declaration

Pursuant to 37 CFR 1.16(e), the surcharge for filing this Response is for ☐ other than a small entity or ☒ a small entity.

Fee Due \$ 65.00

Submitting a Translation of the Specification

Pursuant to 37 CFR 1.17(i), the surcharge for submitting an English translation of the non-English specification is included.

Fee Due \$ 0.00

Extension of Time

☒ Applicants filed a Petition for a five-month extension of time under 37 CFR 1.136 on December 29, 2004, and paid the extension fee in the amount \$1,080.00. No additional fee is believed to be due in connection with this communication. If any additional fee is required, please charge Account No. 07-0181. A duplicate of this transmittal is attached.

☐ Applicants believe that no extension of time is required. However, this conditional petition is being made to provide for the possibility that applicants have inadvertently overlooked the need for a petition and fee for extension of time.

Fee Due \$0.00

4. Total Fee Due

The total fee due is:

Application Filing Fee	\$
Late Filing of Declaration Surcharge	\$ 65.00
Non-English Specification Surcharge	\$ 0.00
Extension of Time Fee	\$ 0.00

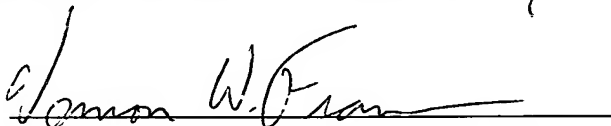
Total Fee Due: \$65.00

5. Fee Payment

☐ Attached is a check in the sum of \$.
☒ Charge Account No. 07-0181 the sum of \$65.00. A duplicate of this transmittal is attached.

6. Fee Deficiency

☒ If any additional fee is required in connection with this communication, charge Account No. 07-0181. A duplicate of this transmittal is attached.


Vernon W. Francissen, Reg. No. 41,762
One of the Attorneys for Applicant(s)
GARDNER CARTON & DOUGLAS LLP
191 N. Wacker Drive, Suite 3700
Chicago, Illinois 60606-1698
(312) 569-1000 telephone
(312) 569-3000 facsimile
Customer No.: 08968

Date: January 3, 2005

Certification under 37 C.F.R. § 1.10

EU909389208US

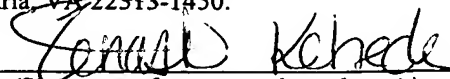
January 3, 2005

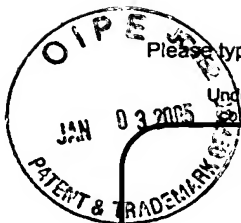
Express Mail mailing number

Date of Deposit

I hereby certify this RESPONSE TO NOTICE TO FILE MISSING PARTS, including any documents or materials referred to thereon as enclosures or attachments, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


(Typed or printed name or person making deposit)


(Signature of person making deposit)



Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (6-98)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission	Application Number	10/804,693
	Filing Date	March 19, 2004
	First Named Inventor	Richard A. BAKER
	Group Art Unit	3624
	Examiner Name	Unassigned
Attorney Docket Number		P1995A

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
 - ☐ Fee Attached
- ☐ Amendment / Response
 - ☐ After Final
 - ☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/Incomplete Application

☒ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition

☐ Petition to Convert to a Provisional Application

☒ Combined Declaration and Power of Attorney

☐ Terminal Disclaimer

☐ Small Entity Statement

☐ Request for Refund

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Additional Enclosure(s) (please identify below):

Copy of Notice to File Missing Parts of Nonprovisional Application; Express Mailing Certificate under 37 CFR 1.10; Postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Vernon W. Francissen, Reg. No. 41,762 Gardner Carton & Douglas LLP
Signature	
Date	January 3, 2005

EXPRESS MAILING CERTIFICATE UNDER 37 CFR § 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 under "Express Mail" Mailing Number EU909389208US on January 3, 2005 and is addressed to: Mail Stop Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Zenash S. Kebede		
Signature		Date	January 3, 2005

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231. CH02/ 22358579.1



**EXPRESS MAILING CERTIFICATE
UNDER 37 CFR § 1.10**

Date of Deposit: January 3, 2005

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P.O. Box 1450
Alexandria, VA 22313-1450

Title: METHOD FOR MANAGING DATA REGARDING DERIVATIVES
TRANSACTIONS

Inventor: Baker et al.

Application No.: 10/804,693

Filed: March 19, 2004

Enclosed:

1. Transmittal Form (1 pg)
2. Response to Notice to File Missing Parts (3 pgs) and duplicate thereof (3 pgs)
3. Copy of Notice to File Missing Parts of Nonprovisional Application (2 pgs)
4. Executed Combined Declaration and Power of Attorney (35 pgs)
5. Authorization to Charge Deposit Account in the amount of \$65.00
6. Return postcard

Zenash S. Kebede
Typed or Printed Name


Signature

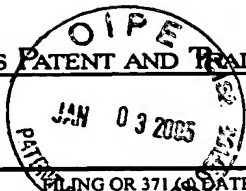
Attorney Docket No. **P1995A**
Client No. 076661-0004
CH02/ 22358581.1

01-04-05

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APPLICATION NUMBER	FILING OR 371(a) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/804,693	05/19/2004	Richard A. Baker	P1995A

08968
GARDNER CARTON & DOUGLAS LLP
ATTN: PATENT DOCKET DEPT.
191 N. WACKER DRIVE, SUITE 3700
CHICAGO, IL 60606

CONFIRMATION NO. 9159

FORMALITIES LETTER



OC000000012842919

Date Mailed: 06/02/2004

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is \$65 for a Small Entity

- \$65 Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*

01/05/2005 RWDNDAF1 00000040 070181 10804693

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Fuller

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE